

IN THE UNITED STATES RECEIVING OFFICE

Applicant : John Smit  
Serial No. : 09/913,414  
Filed : August 13, 2001  
Title : PRODUCTION OF HETEROLOGOUS POLYPEPTIDES FROM  
FRESHWATER CAULOBACTER

Art Unit : 1645  
Examiner : Unknown

**BOX PCT**

Commissioner for Patents  
Washington, D.C. 20231

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS

Responsive to the Notification of Missing Requirements under 35 U.S.C. 371  
mailed January 29, 2002, Applicant as a large entity submits herewith the following:

- ☒ A Preliminary Amendment (2 pages);
- ☒ A Verified Statement Under 37 CFR §1.821(f); and
- ☒ A paper (5 pages) and computer-readable (1 diskette) copy of the Sequence Listing.

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Label No. EL 940 866 288 US

I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 14, 2002

Date of Deposit

Signature

LeRoy Jenkins  
Typed or Printed Name of Person Signing Certificate

Applicant : John Smit  
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Page : 2

Attorney's Docket No.: 08106-005001 / 82104-22

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050, referencing attorney docket no. 08106-005001.

Respectfully submitted,

Date: February 14, 2002

Jack Brennan  
Jack Brennan  
Reg. No. 47,443

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Boston, Massachusetts 02110-2804  
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YRT #6  
JQB

## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20531  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/913,414	John Smit	08106-005001

INTERNATIONAL APPLICATION NO.	
PCT/CA00/00173	
I.A. FILING DATE	PRIORITY DATE
02/21/2000	02/19/1999

Fish & Richardson  
225 Franklin Street  
Boston, MA 02110-2804

Docketed By Billing Secretary
Due Date: _____
Deadline: _____
Initials: _____

CONFIRMATION NO. 9742  
371 FORMALITIES LETTER

\*OC00000007377637\*

Date Mailed: 01/29/2002

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

DOCKETED BY PRACTICE SYSTEMS	
Action Code	Seq. List (24)
Base Date	1/29/02
Due Date	3/29/02
Deadline	7/29/02
Initials	PEC On

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
  - APPLICANT MUST PROVIDE:
    - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
    - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216

- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

JOHN L ANDERSON

Telephone: (703) 308-9116

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/913,414	PCT/CA00/00173	08106-005001



UNITED STATES PATENT AND TRADEMARK OFFICE

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FEB 06 2002

**FISH & RICHARDSON, P.C.**  
**BOSTON OFFICE**

**CONFIRMATION NO. 9742**  
**371 WITHDRAWAL NOTICE**



\*OC000000007377626\*

Date Mailed: 01/29/2002

**WITHDRAWAL OF PREVIOUSLY SENT NOTICE**

The Acceptance Notice mailed on 12/21/2001 was sent in error and is hereby withdrawn. A corrected Notice is enclosed. The time period for reply runs from the mail date of the enclosed Notice. We apologize for any inconvenience this caused.

JOHN L ANDERSON

Telephone: (703) 308-9116

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